

COPY OF PAPERS  
ORIGINALLY FILED



06-06-02

MP #3  
RECEIPT.

Express Mail No.: EL 477 036 679 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Graner et al.

Confirmation No. 8714

Application No.: 10/091,390

Group Art Unit: 1645

Filed: March 5, 2002

Examiner: To Be Assigned

For: METHODS OF RECOVERING CHAPERONE  
PROTEINS AND COMPLEXES THEREOF

Attorney Docket No.: 8449-181-999

**ASSERTION OF SMALL ENTITY STATUS PURSUANT TO 37 C.F.R. § 1.27(c)**  
**AND REQUEST FOR REFUND PURSUANT TO 37 C.F.R. § 1.28(a)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Attention: Refund Section, Accounting Division

Sir:

The inventors of the above-identified application have assigned their rights, title, and interest in, to, and under the above-identified application to The Board of Regents on behalf of The University of Arizona ("The University of Arizona"). A copy of the executed and notarized Assignment is attached herewith. Additionally, Antigenics, Inc. ("Antigenics") is an entity having certain rights in the invention.

The University of Arizona and Antigenics qualify as Small Entities under 37 C.F.R. § 1.27(a)(3) and § 1.27(a)(2), respectively. Therefore, the above-identified application is entitled to Small Entity Status. Attorneys for Applicants respectfully request that Small Entity Status be accorded to the application.

A filing fee in excess of the required fee has been paid in connection with the above-identified application. In particular, a fee of \$740.00 has been paid, as evidenced by the Filing Receipt mailed April 9, 2002 in connection with the above-identified application (a copy of which is enclosed herewith). Applicants request a refund of the excess amount (*i.e.*, one half of the filing fee that was paid) within three months of its timely payment.

COPY OF PAPERS  
ORIGINALLY FILED

Accordingly, please refund the excess by crediting \$370.00 to Deposit Account No. 16-1150. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Date: June 5, 2002

Adriane M. Antler 32,605

Adriane M. Antler

(Reg. No.)

**PENNIE & EDMONDS LLP**

1155 Avenue of the Americas

New York, New York 10036-2711

(212) 790-9090

Enclosures



COPY OF PAPERS  
ORIGINALLY FILED

inlter/wenk  
2426

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/091,390	03/05/2002	1645	740	8449-181-999	5	20	3

CONFIRMATION NO. 8714

20583  
PENNIE AND EDMONDS  
1155 AVENUE OF THE AMERICAS  
NEW YORK, NY 100362711

FILING RECEIPT



Date Mailed: 04/09/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Michael Graner, Tucson, AZ;  
Emmanuel Katsanis, Tucson, AZ;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/287,967 05/01/2001

Foreign Applications

If Required, Foreign Filing License Granted 04/08/2002

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

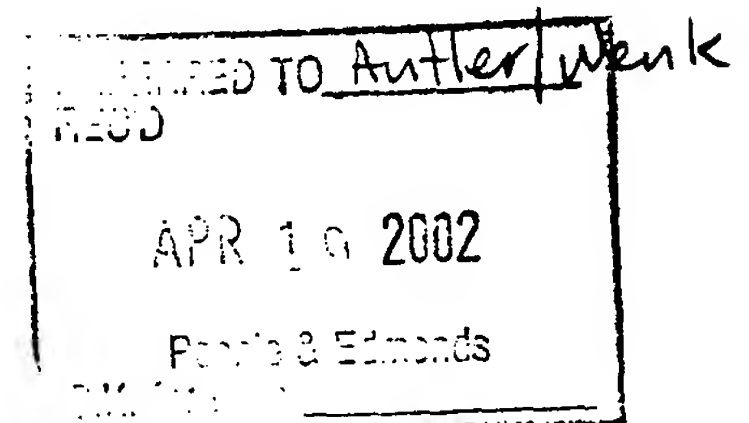
Early Publication Request: No

Title

Methods of recovering chaperone proteins and complexes thereof

Preliminary Class

424



COPY OF PAPER  
ORIGINALLY FILED

---

**LICENSE FOR FOREIGN FILING UNDER**  
**Title 35, United States Code, Section 184**  
**Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).